

09/03/99  
JC690 U.S. PTO

**UNITED STATES PATENT APPLICATION TRANSMITTAL FORM**

**BOX PATENT APPLICATION**  
**ASSISTANT COMMISSIONER FOR PATENTS**  
**Washington, D.C. 20231**

Docket No.: 321.5452USU

JC675 U.S. PTO  
09/389939  
09/03/99

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Paul T. Green

For: **FINANCIAL INSTRUMENT FILTERING SYSTEM AND METHOD  
THEREFOR**

Enclosed are:

XXX Specification (26 pps); Claims (9 pps); Abstract (1pp);

XXX 26 sheets of drawings;

XXX Declaration and Power of Attorney;

XXX An assignment of the invention to: **Southport Advisors, Inc.** including  
\$40.00 recordation fee and Assignment Recordation Form Cover Sheet;

\_\_\_\_\_ Information Disclosure Statement (with copies of patent);

\_\_\_\_\_ Form - PTO-1449;

XXX Verified Statement Claiming Small Entity Status; and

XXX Priority of U.S. Patent Application Serial No. **60/099,272**, filed on  
**September 4, 1998** is claimed under 35 U.S.C. §120.

The Filing Fee is calculated below.

CLAIMS AS FILED				
(1) For	(2) Number Filed	(3) Number Extra	(4) Rate	(5) Basic Fee \$760.00
Total Claims	35 - 20 =	15	x \$18.00	\$270.00
Independent Claims	4 - 3 =	1	x \$78.00	\$78.00
Multiple Dependent Claim Fee		x \$260.00 = \$0.00		
<b>TOTAL FILING FEE</b>		<b>\$554.00</b>		

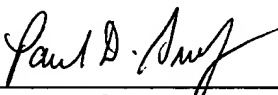
<b>1/2 FILING FEE FOR SMALL ENTITY</b>	<b>\$N/A</b>
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**XXX** A check in the amount of \$ 594.00 for the filing fee (\$554) (small entity) and assignment recordal fee (\$40) is enclosed.

**XXX** The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§1.16 and 1.17 which may be required with this communication or during the entire pendency of the application, or credit any overpayment, to **Deposit Account No. 01-0467**. A duplicate copy of this Form is enclosed.

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September 3, 1999  
Date of Signature

  
\_\_\_\_\_  
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**CERTIFICATE OF EXPRESS MAILING**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Certificate No. **EL425479827US**, service under 37 CFR §1.10 and is addressed to: Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231 on September 3, 1999.

Joanne A. Romaniello  
(Typed name of person mailing paper)

  
\_\_\_\_\_  
(Signature of person mailing paper)